

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of

: Attn: Office of Initial  
: Patent Examination

COLUMBUS et al.

Serial No. 09/829,439

: Group Art Unit: 2161

Filed: April 10, 2001

For: SYSTEM, METHOD AND COMPUTER READABLE MEDIUM CONTAINING  
INSTRUCTIONS FOR EVALUATING AND DISSEMINATING SECURITIES ANALYST  
PERFORMANCE INFORMATION

**REQUEST FOR CORRECTED FILING RECEIPT**

Honorable Commissioner for Patents  
Washington, D.C. 20231

Sir:

Attached is a copy of the Filing Receipt received from the U.S. Patent and Trademark Office in the above-referenced application. Please note that Applicants did **not** request nonpublication at the time of filing the application. To the extent necessary, please consider the present Request to include a Request to Rescind Publication. Also, please note that the referenced application is assigned to Thomson Financial Inc. Attached is a copy of the Assignment as filed on August 13, 2001 with the Response to Notice to File Missing Parts of Nonprovisional Application. Also submitted herewith is an updated Application Data Sheet listing Thomson Financial Inc. as the Assignee. Please correct the Publication and Assignee information as indicated in red on the attached copy of the Filing Receipt. It is requested that a corrected filing receipt be issued.

Since the error was made by the U.S. Patent and Trademark Office, it is believed that no fee is required with regard to this Request, however, in the event that a fee is required, the Commissioner is authorized to charge such fee to Deposit Account No. 08-0219. A duplicate copy of this letter is attached.

Respectfully submitted,

HALE AND DORR LLP

Iran H. Donner

Registration No. 35,120

1455 Pennsylvania Avenue, N.W.  
Washington, D.C. 20004

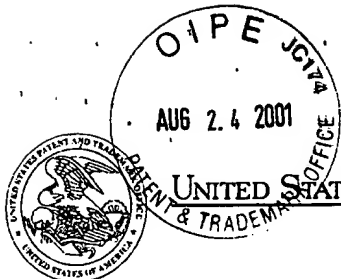
TEL: 202.942.8585 IHD/lrr

FAX: 202.942.8484

Date: 8/24/01

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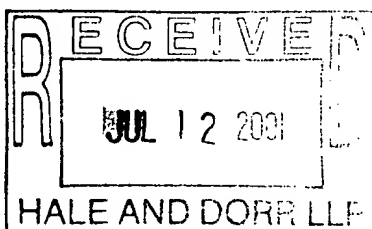


## UNITED STATES PATENT AND TRADEMARK OFFICE

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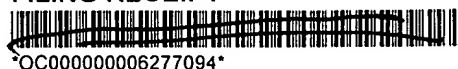
APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/829,439	04/10/2001	2161	0.00	26119.120US1	23	77	13

24395  
HALE & DORR LLP  
THE WILLARD OFFICE BUILDING  
1455 PENNSYLVANIA AVE, NW  
WASHINGTON, DC 20004



CONFIRMATION NO. 8762

FILING RECEIPT



\*OC000000006277094\*

Date Mailed: 07/10/2001

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

## Applicant(s)

Craig E. Columbus, Scottsdale, AZ;  
J. Carr Bettis, Scottsdale, AZ;

## Assignment For Published Patent Application

~~Primark Holding Corporation, McLean, VA;~~

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OCT 23 2001  
Thomson Financial Inc., Boston, MA  
Technology Center 2100

## Domestic Priority data as claimed by applicant

THIS APPLICATION IS A CIP OF 09/597,742 06/19/2000  
WHICH CLAIMS BENEFIT OF 60/139,771 06/18/1999  
AND CLAIMS BENEFIT OF 60/196,314 04/12/2000

## Foreign Applications

If Required, Foreign Filing License Granted 07/09/2001

Projected Publication Date: Request for Non-Publication Acknowledged-

Non-Publication Request: ~~Yes~~ No

Early Publication Request: No

Title

705

**Date:** 07/10/2001

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**LICENSE FOR FOREIGN FILING UNDER  
Title 35, United States Code, Section 184  
Title 37, Code of Federal Regulations, 5.11 & 5.15**

**GRANTED**

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

**NOT GRANTED**

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).

**PLEASE NOTE the following information about the Filing Receipt:**

- The articles such as "a," "an" and "the" are not included as the first words in the title of an application. They are considered to be unnecessary to the understanding of the title.
- The words "new," "improved," "improvements in" or "relating to" are not included as first words in the title of an application because a patent application, by nature, is a new idea or improvement.
- The title may be truncated if it consists of more than 500 characters (letters and spaces combined).
- The docket number allows a maximum of 25 characters.
- If your application was submitted under 37 CFR 1.10, your filing date should be the "date in" found on the Express Mail label. If there is a discrepancy, you should submit a request for a corrected Filing Receipt along with a copy of the Express Mail label showing the "date in."
- The title is recorded in sentence case.

Any corrections that may need to be done to your Filing Receipt should be directed to:

Assistant Commissioner for Patents  
Office of Initial Patent Examination  
Customer Service Center  
Washington, DC 20231



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2-5-02



Bib Data Sheet

CONFIRMATION NO. 8762

<b>SERIAL NUMBER</b> 09/829,439	<b>FILING DATE</b> 04/10/2001 <b>RULE</b>	<b>CLASS</b> 705	<b>GROUP ART UNIT</b> 2161	<b>ATTORNEY DOCKET NO.</b> 26119.120US1
<b>APPLICANTS</b> Craig E. Columbus, Scottsdale, AZ; J. Carr Bettis, Scottsdale, AZ;				
<b>** CONTINUING DATA *****</b> THIS APPLICATION IS A CIP OF 09/597,742 06/19/2000 WHICH CLAIMS BENEFIT OF 60/139,771 06/18/1999 AND CLAIMS BENEFIT OF 60/196,314 04/12/2000				
<b>** FOREIGN APPLICATIONS *****</b>				
<b>IF REQUIRED, FOREIGN FILING LICENSE GRANTED</b> <b>** 07/09/2001</b>				
Foreign Priority claimed <input type="checkbox"/> yes <input type="checkbox"/> no 35 USC 119 (a-d) conditions <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> Met after Allowance Verified and Acknowledged _____ Examiner's Signature _____ Initials _____		<b>STATE OR COUNTRY</b> AZ	<b>SHEETS DRAWING</b> 23	<b>TOTAL CLAIMS</b> 77
<b>INDEPENDENT CLAIMS</b> 13				
<b>ADDRESS</b> 24395				
<b>TITLE</b> System, method and computer readable medium containing instructions for evaluating and disseminating securities analyst performance information				
<b>FILING FEE RECEIVED</b> 2666	FEES: Authority has been given in Paper No. _____ to charge/credit DEPOSIT ACCOUNT No. _____ for following:		<input type="checkbox"/> All Fees <input type="checkbox"/> 1.16 Fees ( Filing ) <input type="checkbox"/> 1.17 Fees ( Processing Ext. of time ) <input type="checkbox"/> 1.18 Fees ( Issue ) <input type="checkbox"/> Other _____ <input type="checkbox"/> Credit	

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AUG 24 2001

DOCKET NO.: 26119/120 US1

## PATENTS ONLY

To the Honorable Commissioner of Patents and Trademarks: Please record the attached original documents or copy thereto:

1. Name of conveying party(ies):

Craig E. Columbus

Additional name(s) of conveying party(ies) attached?

☐ Yes ☒ No

2. Name and address of receiving party(ies):

Name: Thomson Financial Inc.

Internal Address: \_\_\_\_\_

Street Address: 22 Thomson PlaceCity: Boston State/Country: MA ZIP: 02210Additional name(s) & address(es) attached? ☐ Yes ☒ No

3. Nature of conveyance:

☒ Assignment☐ Security Agreement☐ Other \_\_\_\_\_☐ Merger☐ Change of NameExecution Date: May 18, 2001

4. Application number(s) or patent number(s):

If the document is being filed together with a new application, the execution date of the application is:

A. Patent Application No(s).

09/829,439 filed April 10, 2001

B. Patent No(s).

Additional numbers attached? ☐ Yes ☒ No

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: HALE & DORR LLP

Internal Address: \_\_\_\_\_

Street Address: 1455 Pennsylvania Ave., N.W.City: Washington State: DC ZIP: 200056. Total number of applications and patents involved: 1

7. Total fee (37 CFR 3.41)..... \$

☐ Enclosed☒ Authorized to be charged to deposit account

8. Deposit account number:

08-0219

DO NOT USE THIS SPACE

9. Statement and signature.

*To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.*Irah H. Donner, Registration No. 35,120

Name and Registration No. of Person Signing

Signature

August 10, 2001

Date

Total number of pages comprising cover sheet: 1

## ASSIGNMENT

WHEREAS I, Craig E. Columbus, of Scottsdale, Arizona, have made a certain new and useful invention as set forth in an application for United States Letters Patent, entitled SYSTEM, METHOD AND COMPUTER READABLE MEDIUM CONTAINING INSTRUCTIONS FOR EVALUATING AND DISSEMINATING SECURITIES ANALYST PERFORMANCE INFORMATION executed by me/us on the date of execution of this document, as shown below, and for which an application for United States Letters Patent was filed on April 10, 2001, and identified by United States Serial No. 09/829,439;


AND WHEREAS, Thomson Financial Inc., a corporation of the State of New York and having an address of 22 Thomson Place, Boston, Massachusetts 02210, is desirous of acquiring the entire right, title and interest in and to said invention and in and to any and all Letters Patent of the United States and foreign countries which may be obtained therefor;

NOW, THEREFORE, for good and valuable consideration, the receipt for and sufficiency of which is hereby acknowledged, I/We do hereby sell, assign, transfer and set over unto Thomson Financial Inc., its legal representatives, successors, and assigns, the entire right, title and interest in and to said invention as set forth in the above-mentioned application, including Provisional Application Serial No. 60/196,314 filed April 12, 2000, U.S. Patent Application Serial No. 09/597,742 filed June 19, 2000, Provisional Application Serial No. 60/139,771 filed June 18, 1999, any patent applications in the United States and foreign countries, and any original applications, formal applications, continuation applications, continuations-in-part applications, continued prosecution applications, request for continued examination applications, divisional applications, reissue applications, re-examinations or extensions thereof, and in and to any and all patents of the United States and foreign countries which may be issued for said invention, and all rights to claim priority therefrom and/or thereto; and any copyright or designs associated with or in said invention; and all rights of action and damages for any past, present or future infringement relating thereto, including all rights of actions and damages from publication of the patent applications and/or issuance of any patent relating thereto;

UPON SAID CONSIDERATIONS, I/We hereby agree with the said assignee that I/We will not execute any writing or do any act whatsoever conflicting with these presents, and that I/We will, at any time upon request, without further or additional consideration but at the expense of said assignee, execute such additional assignments and other writings and do such additional acts as said assignee may deem necessary or desirable to perfect the assignee's enjoyment of this grant, and render all necessary assistance in making application for and obtaining original, divisional, continuations, continuations-in-part, reexamined, reissued, or extended Letters Patent of the United States or of any and all foreign countries on said invention, and in enforcing any rights or choses in action accruing as a result of such applications or patents, by giving testimony in any proceedings or transactions involving such applications or patents, and by executing preliminary statements and other affidavits, it being understood that the foregoing covenant and agreement shall bind, and inure to the benefit of the assigns and legal representatives of assignor and assignee;

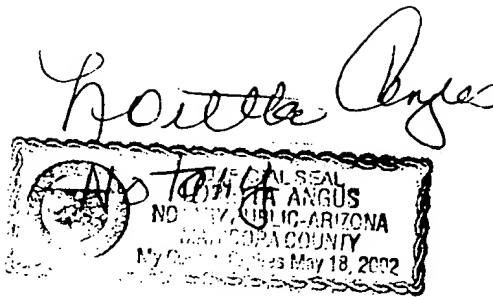
**The undersigned hereby grant(s) the firm of HALE and DORR LLP the power to insert on this Assignment any further identification, including the application number and filing date, which may be necessary or desirable in order to comply with the rules of the United States Patent and Trademark Office for recordation of this document**

AND I/We request the Commissioner of Patents and Trademarks to issue any Letters Patent of the United States which may be issued for said invention to said Thomson Financial Inc., its legal representatives, successors or assigns, as an owner of the entire right, title and interest in and to said patent and the invention covered thereby.

  
\_\_\_\_\_  
Craig E. Columbus

5-18-01  
\_\_\_\_\_  
Date

STATE OF Arizona )  
COUNTY OF Maricopa ) SS:



On this 18<sup>TH</sup> day of May, 2001 before me personally appeared Craig E. Columbus, to me known to be the person named in and who executed the above instrument, and acknowledged to me that he executed the same for the uses and purposes therein set forth.